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File 347:JAPIO Oct 1976-2003/Jun(Updated 031006)

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File 350:Derwent WPIX 1963-2003/UD,UM &UP=200368

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File 371:French Patents 1961-2002/BOPI 200209

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Set	Items	Description
S1	318	(FINANCIAL OR ESTATE OR INVESTMENT)() (MANAGEMENT OR PLANNING OR ARRANGEMENT? ? OR ADMINIST?) OR EMPLOYEE() BENEFIT? ?
S2	1241621	ASSET? ? OR SAVINGS OR DISBURS? OR PAYMENT? ? OR PROPERT??? OR RECEIPT? ? OR ANNUIT??? OR EARNINGS OR INCOME OR INTEREST OR RETURN? ? OR PROFIT? ? OR GAIN? ? OR RESOURCES OR CAPITAL - OR MONEY? ? OR MONIES OR DIVIDEND? ?
S3	103450	ASSIGN? ? OR ASSIGNMENT OR ASSIGNING OR ALLOCAT??? OR ALLOTT? OR REBALANC??? OR REALLOCAT??? OR APPORTION? OR REAPPORTION?
S4	492625	ERISA OR EMPLOYEE() RETIREMENT() INCOME() SECURITY() ACT OR REGULATORY OR REGULATION? ? OR LEGAL() RESTRAINT? ? OR OVERSEE??? OR OVERSIGHT OR ADMINISTRATION OR GOVERN??? OR ENFORC? OR RESTRICT??? OR LAW? ? OR REG OR REGS OR LEGISLATION
S5	508388	AVOID? OR CIRCUMVENT??? OR (KEEP??? OR STAY??? OR STEER???- )() (CLEAR OR IN() MIND) OR NEGATE? ? OR NEGATING OR NEGATION OR PROHIBIT??? OR ESCAPE OR MINDFUL
S6	16	(CONFLICT? ? OR CLASH?? OR DISHARMONY OR DISAGREE? OR INCOMPATIB?) (3N) (INTEREST OR ETHIC?? OR MORAL?? OR DUTY OR DUTIES OR PRINCIPLE? ?)
S7	2511	S2(3N)S3
S8	3	S5(3W)S6
S9	0	S4(10N)S8
S10	0	S1(S) (S7(S)S9)
S11	1	S6 AND S7
S12	4	S5(10N)S6
S13	1	S7 AND S12
S14	12	S2 AND S6
S15	492628	S4 OR S8
S16	32040	S2 AND S15
S17	88	S7 AND S15
S18	23	S7(10N)S15
S19	35	S8 OR S11 OR S12 OR S13 OR S14 OR S18
S20	244579	IC=G06F-017?
S21	13	S19 AND S20
S22	13	IDPAT (sorted in duplicate/non-duplicate order)
S23	13	IDPAT (primary/non-duplicate records only)

23/3,K/1 (Item 1 from file 350)  
DIALOG(R)File 350:Derwent WPIX  
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015139775 \*\*Image available\*\*  
WPI Acc No: 2003-200302/200319  
XRPX Acc No: N03-159504

Compliance and risk management method involves obtaining answers from user for assisting user in prioritization and \*allocating\* \*resources\* to comply with \*law\*, statute, \*regulation\*, industrial standard, policy  
Patent Assignee: KRISHNAN K R (KRIS-I); REKHI S (REKH-I); STEINMILLER E (STEI-I)

Inventor: KRISHNAN K R; REKHI S; STEINMILLER E  
Number of Countries: 001 Number of Patents: 001  
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 20020184068	A1	20021205	US 2001871690	A	20010604	200319 B

Priority Applications (No Type Date): US 2001871690 A 20010604

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 20020184068	A1		61	G06F-017/60	

... and risk management method involves obtaining answers from user for assisting user in prioritization and \*allocating\* \*resources\* to comply with \*law\*, statute, \*regulation\*, industrial standard, policy

Abstract (Basic):

... information is determined in customization to user's industry for assisting user in prioritization and \*allocating\* user \*resources\* to comply with a \*law\*, a statute, a \*regulation\*, an industrial standard, a policy which is determined to be applicable, based on the user...

International Patent Class (Main): \*G06F-017/60\*

23/3,K/3 (Item 3 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
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014885753 \*\*Image available\*\*  
WPI Acc No: 2002-706459/200276  
XRPX Acc No: N02-557016

On-line fund-raising event \*administration\* method for charitable organizations, involves \*allocating\* portion of \*payment\* received from user for auctioning goods or services not owned by fund-raising entity, to entity

Patent Assignee: FINEMAN J (FINE-I); LAWRENCE J (LAWR-I)

Inventor: FINEMAN J; LAWRENCE J

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 20020116215	A1	20020822	US 2001269437	A	20010216	200276 B
			US 200277192	A	20020215	

Priority Applications (No Type Date): US 2001269437 P 20010216; US 200277192 A 20020215

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 20020116215	A1		9	G06F-017/60	Provisional application US 2001269437

On-line fund-raising event \*administration\* method for charitable organizations, involves \*allocating\* portion of \*payment\* received from user for auctioning goods or services not owned by fund-raising entity, to...

International Patent Class (Main): \*G06F-017/60\*

23/3,K/4 (Item 4 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
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014871364 \*\*Image available\*\*  
WPI Acc No: 2002-692070/200274  
XRPX Acc No: N02-545966

**Index selection method used for selecting securities for fixed income  
index has recursive sampling, covariance matrix, residual variances and  
stopping criteria**

Patent Assignee: MCINTYRE J P (MCIN-I); YANG L L (YANG-I); MORGAN STANLEY  
DEAN WITTER & CO (MORG-N)

Inventor: MCINTYRE J P; YANG L L

Number of Countries: 100 Number of Patents: 002

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200280435	A2	20021010	WO 2002US9061	A	20020322	200274 B
US 20020184126	A1	20021205	US 2001819304	A	20010328	200301

Priority Applications (No Type Date): US 2001819304 A 20010328

Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
WO 200280435	A2	E 25	H04L-000/00	

Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA  
CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN  
IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ  
OM PH PL PT RO RU SD SE SG SI SK SL TJ TM TN TR TT TZ UA UG UZ VN YU ZA  
ZM ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR  
IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZM ZW

US 20020184126 A1 G06F-017/60

Abstract (Basic):

... selecting securities for inclusion in a fixed income index and  
for portfolio construction, risk management, \*capital\* \*allocation\* or  
\*regulation\*, index production and derivative securities applications  
...

International Patent Class (Main): \*G06F-017/60\*...

23/3,K/5 (Item 5 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
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014746391 \*\*Image available\*\*  
WPI Acc No: 2002-567098/200260  
XRPX Acc No: N02-448899

**Automatic investor asset allocation system avoids \*conflicts\* of  
\*interest\* using \*asset\* \*allocation\* model and individual investor  
report generation**

Patent Assignee: GREENSTEIN M (GREE-I); TARBOX B C (TARB-I)

Inventor: GREENSTEIN M; TARBOX B C

Number of Countries: 026 Number of Patents: 002

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200265369	A2	20020822	WO 2002US4031	A	20020211	200260 B
US 20020169701	A1	20021114	US 2001267771	A	20010209	200277
			US 2002349459	A	20020114	
			US 2002349162	A	20020116	
			US 200273632	A	20020211	

Priority Applications (No Type Date): US 2002349162 P 20020116; US  
2001267771 P 20010209; US 2002349459 P 20020114; US 200273632 A 20020211

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes

WO 200269369 A2 E 53 G06F-017/60

Designated States (National): AU BR CA JP KR NZ

Designated States (Regional): AT BE CH CY DE DK ES FI FR GB GR IE IT LU

MC NL PT SE TR

US 20020169701 A1 G06F-017/60 Provisional application US 2001267771

Provisional application US 2002349459

Provisional application US 2002349162

**Automatic investor asset allocation system avoids \*conflicts\* of  
\*interest\* using \*asset\* \*allocation\* model and individual investor  
report generation**

Abstract (Basic):

... System uses a data processor to provide expert independent  
\*asset\* \*allocation\* to minimize investor time and offer \*asset\*  
management more efficiently while reducing \*conflicts\* of \*interest\*.  
An \*asset\* \*allocation\* model automatically determines investment  
vehicle proportions and data for individuals is processed to  
automatically calculate the optimum \*asset\* \*allocation\*.  
... An independent expert approves the \*allocation\* and \*savings\*  
rate and receives fees independent of those charged for investment  
management. The investment manager only...  
...plan aggregate investments. There is an INDEPENDENT CLAIM for a  
computerized method of automatically providing \*asset\* \*allocation\*  
services...  
...System separates benefit plan \*allocation\* and money management  
functions to \*avoid\* \*conflicts\* of \*interest\*.  
...Title Terms: \*INTEREST\*;  
International Patent Class (Main): \*G06F-017/60\*

23/AZ, TI/1 (Item 1 from file: 350)  
DIALOG(R) File 350:(c) 2003 Thomson Derwent. All rts. reserv.

015139775

Compliance and risk management method involves obtaining answers from user for assisting user in prioritization and \*allocating\* \*resources\* to comply with \*law\*, statute, \*regulation\*, industrial standard, policy

23/AZ, TI/2 (Item 2 from file: 350)  
DIALOG(R) File 350:(c) 2003 Thomson Derwent. All rts. reserv.

015138876

Underwriting transaction executing system for financial instrument, has automated auction processor which maintains universal protocol for issuer and underwriter, for consummating underwriting transaction in real-time

23/AZ, TI/3 (Item 3 from file: 350)  
DIALOG(R) File 350:(c) 2003 Thomson Derwent. All rts. reserv.

014885753

On-line fund-raising event \*administration\* method for charitable organizations, involves \*allocating\* portion of \*payment\* received from user for auctioning goods or services not owned by fund-raising entity, to entity

23/AZ, TI/4 (Item 4 from file: 350)  
DIALOG(R) File 350:(c) 2003 Thomson Derwent. All rts. reserv.

014871364

Index selection method used for selecting securities for fixed income index has recursive sampling, covariance matrix, residual variances and stopping criteria

23/AZ, TI/5 (Item 5 from file: 350)  
DIALOG(R) File 350:(c) 2003 Thomson Derwent. All rts. reserv.

014746391

Automatic investor asset allocation system avoids \*conflicts\* of \*interest\* using \*asset\* \*allocation\* model and individual investor report generation

23/AZ, TI/6 (Item 6 from file: 350)  
DIALOG(R) File 350:(c) 2003 Thomson Derwent. All rts. reserv.

014699003

Business enterprise record monitoring method involves comparing identified item of information with item of information in related field

23/AZ, TI/7 (Item 7 from file: 350)  
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014318730

Resource consumer structure for computer system using given computing hardware platform executing several of tasks has second resource consumer that may received given resources from first resource consumer for specialized processing

23/AZ, TI/8 (Item 8 from file: 350)

.. DIALOG(R)File 350:(c) 2003 Thomson Derwent. All rts. reserv.

014172642

Liquidity preferred stock for paying service providers, advisors of company, indicates obligation that payor other than company pays the holder when predetermined event occurs

23/AZ, TI/9 (Item 9 from file: 350)

DIALOG(R)File 350:(c) 2003 Thomson Derwent. All rts. reserv.

014162856

Integrated medical computer system for use in hospitals, has knowledge module which performs knowledge processing functions on medical and patient information for generating solutions to medical problems

23/AZ, TI/10 (Item 10 from file: 350)

DIALOG(R)File 350:(c) 2003 Thomson Derwent. All rts. reserv.

013966957

Internet delivery of legal services involves providing accessible web site for users, searching database for suitable lawyer, sending query of user to chosen lawyer, and sending response to user through email

23/AZ, TI/11 (Item 11 from file: 350)

DIALOG(R)File 350:(c) 2003 Thomson Derwent. All rts. reserv.

013868885

Indenture plan allocation determination, management and reporting system for insurance and benefit funding, determines allocation and management information from received indenture plan and expense information

23/AZ, TI/12 (Item 12 from file: 350)

DIALOG(R)File 350:(c) 2003 Thomson Derwent. All rts. reserv.

011591168

Computer method of financial interest distribution and cognizable interest distribution based on pool of assets - involves compiling investor needs for CRA qualified assets, creating portfolios of assets that would be recognised by regulatory agencies as meeting CRA requirements and allocating CRA credits separately from financial return of portfolio

23/AZ, TI/13 (Item 13 from file: 347)

DIALOG(R)File 347:(c) 2003 JPO & JAPIO. All rts. reserv.

07557050

PURCHASE METHOD AND SYSTEM FOR PUBLIC LOTTERY, MUNICIPALLY OPERATED GAMBLING AND SPORTS PROMOTION LOTTERY OR THE LIKE